

Evercore ISI - Held NMS Stocks and Options Order Routing Public Report

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3rd Quarter, 2023

July 2023

S&P 500 Stocks

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
0.0000	0.0000	0.0000	0.0000	0.0000

Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)

July 2023

Non-S&P 500 Stocks

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
0.0000	0.0000	0.0000	0.0000	0.0000

Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)

July 2023

Options

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.0000	14.2857	46.0317	39.6825	0.0000

Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
ISE	20.3037	22.3022	13.7748	27.0627	0.0000	34.8000	7.1311	540.2600	27.4802	616.9100	25.3351	0.0000	0.0000
CBOE	19.2913	9.1127	20.1325	25.2475	0.0000	10.9725	4.4604	292.6000	13.8607	87.0900	5.5827	0.0000	0.0000
PHLX	11.7548	37.6499	1.9868	6.1056	0.0000	65.1500	20.4232	61.9500	18.2206	50.0000	5.0000	0.0000	0.0000
ARCA	9.3363	5.0360	8.6093	13.2013	0.0000	-37.2500	-32.3913	0.9100	0.1957	-160.4500	-34.8804	0.0000	0.0000
MIAX	8.0427	4.5564	9.8013	8.2508	0.0000	-8.8500	-15.0000	84.8100	5.8289	19.4000	1.9113	0.0000	0.0000
BOX	5.5681	3.1175	9.5364	2.3102	0.0000	-20.2500	-45.0000	244.3500	17.2077	-70.1000	-13.5067	0.0000	0.0000
EDGX	5.4556	4.5564	5.9603	5.4455	0.0000	-26.8600	-34.0000	39.4800	6.4934	-229.5700	-32.2883	0.0000	0.0000
BX	4.1057	0.0000	8.7417	1.1551	0.0000	0.0000	0.0000	1,020.8200	53.3344	79.8300	82.2990	0.0000	0.0000
AMEX	3.6558	7.9137	1.8543	2.9703	0.0000	14.8500	21.5217	34.6500	22.7961	9.4000	5.0000	0.0000	0.0000
HEXAX	2.8121	3.3573	2.3841	2.9703	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

ISE:

Evercore is not a member of the NASDAQ ICE and accesses liquidity through DASH Financial. DASH Financial is charged fees by NASDAQ ICE and passes fees and potential credits to Evercore. The NASDAQ ICE fee schedule can be accessed at: <https://listingcenter.nasdaq.com/rulebook/ise/rules/ise-options-7>. DASH Financial at: (https://dashfinancial.com/wp-content/uploads/2022/10/DASH-Financial-Technologies-606-Report_2022_Q3.pdf). Evercore ISI routes to US Options Exchanges disclosed on the report through DASH Financial, an electronic options broker (consolidator). DASH Financial (DFIN): Evercore ISI routes to US Options Exchanges disclosed on the report through DASH Financial, an electronic options routing broker Evercore ISI routes held and not held orders to DASH Financial to be executed in various market centers chosen by DASH Financial. DASH Financial charges Evercore ISI rates from \$0.025 to \$0.25 per contract executed depending on the method of access and product, but Evercore ISI is generally charged \$0.05 per contract for low touch executions and \$0.15 per contract for high touch executions. In addition, Evercore ISI pays exchange, regulatory, market data and clearing fees related to executions through DASH Financial, and Evercore ISI is eligible to receive rebates based on its order volumes routed to DASH Financial. Dash Financial charges and rebates Evercore at the native rates the exchanges would charge Evercore as if it was a member. These charges and rebates will be different from the rates and charges DASH itself receives. Charges will include Commissions, Clearing and Exchange fees and rebates based on order routing. DASH Financial supplies executed venues which Evercore believes is representative of DASH Financial routing of our customer order flow. Evercore does not receive any direct incentives from DASH by sending additional volume, achieving tier rates, nor is it penalized by not meeting minimum order amounts or charged fees for not meeting volume thresholds. Evercore receives no potential benefits based on DASH's overall volume and tiering targets with options exchanges, however, Evercore is not a party to those agreements. Evercore routes to DASH for their connectivity, technology, and services.

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PHLX:

August 2023

Options

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.0000	14.2857	50.9967	34.7176	0.0000

Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cent per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cent per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cent per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cent per hundred shares)
ISE	26.3180	14.3882	25.6641	38.4160	0.0000	591.2700	7.1478	1,780.7600	26.0955	1,786.4750	12.2496	0.0000	0.0000
CBOE	20.7065	18.1347	19.0702	25.6477	0.0000	774.0500	13.0377	1,906.7000	20.6711	1,489.4825	19.8386	0.0000	0.0000
ARCA	10.6609	7.2539	10.2230	14.5078	0.0000	-590.4000	-36.4895	-59.5400	-2.9388	-641.9700	-28.5701	0.0000	0.0000
PHLX	7.7437	22.3196	3.1072	1.4434	0.0000	720.1500	11.5929	394.0700	21.8806	190.9300	15.4850	0.0000	0.0000
MIAX	7.0224	8.7684	7.6850	4.3671	0.0000	-161.4500	-13.7404	528.0100	9.8528	80.0000	4.8544	0.0000	0.0000
EDGX	5.5373	10.4823	4.8150	2.0725	0.0000	-621.0200	-33.1741	303.8400	8.4848	16.3100	3.4265	0.0000	0.0000
AMEX	4.4447	9.7648	2.8463	1.9985	0.0000	526.0000	30.2473	332.1000	21.0723	242.4500	56.2529	0.0000	0.0000
BOX	3.8400	6.2973	3.4393	2.1836	0.0000	-425.9500	-40.6441	10.8000	0.2374	-66.4500	-3.5880	0.0000	0.0000
BX	3.3309	0.7971	5.8349	1.7765	0.0000	28.9500	76.1842	3,768.0601	54.0844	503.8100	66.7298	0.0000	0.0000
NOM	1.9837	0.0000	3.7002	1.1473	0.0000	0.0000	0.0000	1,274.8800	45.8096	148.8300	42.7672	0.0000	0.0000

Material Aspects:

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ARCA:

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NOM:

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September 2023

S&P 500 Stocks

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
0.0000	0.0000	0.0000	0.0000	0.0000

Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cent per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cent per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cent per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cent per hundred shares)

September 2023

Non-S&P 500 Stocks

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
0.0000	0.0000	0.0000	0.0000	0.0000

Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
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September 2023

Options

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.0000	17.7232	40.3622	41.9146	0.0000

Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
CBOE	21.3675	14.3418	17.5336	32.3640	0.0000	348.7600	7.2932	948.7150	16.7116	1,143.6899	22.0110	0.0000	0.0000
ISE	18.5897	17.1906	14.0940	24.9531	0.0000	458.2000	5.7541	487.9500	15.0323	176.5800	4.0380	0.0000	0.0000
ARCA	13.1868	8.9882	10.7802	19.8874	0.0000	-348.4300	-30.7529	38.1600	2.0638	-462.4300	-25.8919	0.0000	0.0000
MIAx	8.9896	12.0825	8.8087	6.2383	0.0000	-175.3000	-14.4876	188.1500	5.8779	131.5600	4.5681	0.0000	0.0000
PHLX	8.0586	17.1906	4.5721	3.2364	0.0000	223.4000	5.0497	299.3800	26.4237	198.2900	27.2003	0.0000	0.0000
EDGX	6.7308	14.4892	4.6980	1.5947	0.0000	-686.7600	-32.1517	212.5600	11.1172	-35.1400	-19.5222	0.0000	0.0000
BOX	4.4109	6.9253	3.4815	3.0488	0.0000	-441.0000	-45.6995	151.7000	5.8414	174.0500	5.0202	0.0000	0.0000
AMEX	3.8767	7.5147	2.5587	1.8762	0.0000	135.6500	11.6638	340.6500	32.9768	277.3500	35.2414	0.0000	0.0000
BX	2.9151	0.1965	7.0889	0.8443	0.0000	34.1700	51.0000	1,271.0699	52.9392	343.7200	54.5587	0.0000	0.0000
NOM	2.3504	0.0000	5.4950	1.0788	0.0000	0.0000	0.0000	950.6000	51.5230	147.1500	32.3407	0.0000	0.0000

Material Aspects:

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ARCA:

Evercore is not a member of the NYSE Arca Options and accesses liquidity through DASH Financial. DASH Financial is charged fees by NYSE Arca Options and passes fees and potential credits to Evercore. The NYSE Arca Options fee schedule can be accessed at: https://www.nyse.com/publicdocs/nyse/markets/arca-options/NYSE_Arca_Options_Fee_Schedule.pdf. DASH Financial at: (https://dashfinancial.com/wp-content/uploads/2022/10/DASH-Financial-Technologies-606-Report_2022_Q3.pdf). Evercore ISI routes to US Options Exchanges disclosed on the report through DASH Financial, an electronic options broker (consolidator). DASH Financial (DFIN): Evercore ISI routes to US Options Exchanges disclosed on the report through DASH Financial, an electronic options routing broker Evercore ISI routes held and not held orders to DASH Financial to be executed in various market centers chosen by DASH Financial. DASH Financial charges Evercore ISI rates from \$0.025 to \$0.25 per contract executed depending on the method of access and product, but Evercore ISI is generally charged \$0.05 per contract for low touch executions and \$0.15 per contract for high touch executions. In addition, Evercore ISI pays exchange, regulatory, market data and clearing fees related to executions through DASH Financial, and Evercore ISI is eligible to receive rebates based on its order volumes routed to DASH Financial. Dash Financial charges and rebates Evercore at the native rates the exchanges would charge Evercore as if it was a member. These charges and rebates will be different from the rates and charges DASH itself receives. Charges will include Commissions, Clearing and Exchange fees and rebates based on order routing. DASH Financial supplies executed venues which Evercore believes is representative of DASH Financial routing of our customer order flow. Evercore does not receive any direct incentives from DASH by sending additional volume, achieving tier rates, nor is it penalized by not meeting minimum order amounts or charged fees for not meeting volume thresholds. Evercore receives no potential benefits based on DASH's overall volume and tiering targets with options exchanges, however, Evercore is not a party to those agreements. Evercore routes to DASH for their connectivity, technology, and services.

MIAX:

Evercore is not a member of the Miami Intl Exchange and accesses liquidity through DASH Financial. DASH Financial is charged fees by Miami Intl Exchange and passes fees and potential credits to Evercore. The Miami Intl Exchange fee schedule can be accessed at: <https://www.miaxoptions.com/fees>. DASH Financial at: (https://dashfinancial.com/wp-content/uploads/2022/10/DASH-Financial-Technologies-606-Report_2022_Q3.pdf). Evercore ISI routes to US Options Exchanges disclosed on the report through DASH Financial, an electronic options broker (consolidator). DASH Financial (DFIN): Evercore ISI routes to US Options Exchanges disclosed on the report through DASH Financial, an electronic options routing broker Evercore ISI routes held and not held orders to DASH Financial to be executed in various market centers chosen by DASH Financial. DASH Financial charges Evercore ISI rates from \$0.025 to \$0.25 per contract executed depending on the method of access and product, but Evercore ISI is generally charged \$0.05 per contract for low touch executions and \$0.15 per contract for high touch executions. In addition, Evercore ISI pays exchange, regulatory, market data and clearing fees related to executions through DASH Financial, and Evercore ISI is eligible to receive rebates based on its order volumes routed to DASH Financial. Dash Financial charges and rebates Evercore at the native rates the exchanges would charge Evercore as if it was a member. These charges and rebates will be different from the rates and charges DASH itself receives. Charges will include Commissions, Clearing and Exchange fees and rebates based on order routing. DASH Financial supplies executed venues which Evercore believes is representative of DASH Financial routing of our customer order flow. Evercore does not receive any direct incentives from DASH by sending additional volume, achieving tier rates, nor is it penalized by not meeting minimum order amounts or charged fees for not meeting volume thresholds. Evercore receives no potential benefits based on DASH's overall volume and tiering targets with options exchanges, however, Evercore is not a party to those agreements. Evercore routes to DASH for their connectivity, technology, and services.

PHLX:

Evercore is not a member of the NASDAQ PHLX and accesses liquidity through DASH Financial. DASH Financial is charged fees by NASDAQ PHLX and passes fees and potential credits to Evercore. The NASDAQ PHLX fee schedule can be accessed at: <https://listingcenter.nasdaq.com/rulebook/phlx/rules/Phlx%20Options%207>. DASH Financial at: (https://dashfinancial.com/wp-content/uploads/2022/10/DASH-Financial-Technologies-606-Report_2022_Q3.pdf). Evercore ISI routes to US Options Exchanges disclosed on the report through DASH Financial, an electronic options broker (consolidator). DASH Financial (DFIN): Evercore ISI routes to US Options Exchanges disclosed on the report through DASH Financial, an electronic options routing broker Evercore ISI routes held and not held orders to DASH Financial to be executed in various market centers chosen by DASH Financial. DASH Financial charges Evercore ISI rates from \$0.025 to \$0.25 per contract executed depending on the method of access and product, but Evercore ISI is generally charged \$0.05 per contract for low touch executions and \$0.15 per contract for high touch executions. In addition, Evercore ISI pays exchange, regulatory, market data and clearing fees related to executions through DASH Financial, and Evercore ISI is eligible to receive rebates based on its order volumes routed to DASH Financial. Dash Financial charges and rebates Evercore at the native rates the exchanges would charge Evercore as if it was a member. These charges and rebates will be different from the rates and charges DASH itself receives. Charges will include Commissions, Clearing and Exchange fees and rebates based on order routing. DASH Financial supplies executed venues which Evercore believes is representative of DASH Financial routing of our customer order flow. Evercore does not receive any direct incentives from DASH by sending additional volume, achieving tier rates, nor is it penalized by not meeting minimum order amounts or charged fees for not meeting volume thresholds. Evercore receives no potential benefits based on DASH's overall volume and tiering targets with options exchanges, however, Evercore is not a party to those agreements. Evercore routes to DASH for their connectivity, technology, and services.

EDGX:

Evercore is not a member of the CBOE EDGX Exchanges and accesses liquidity through DASH Financial. DASH Financial is charged fees by CBOE EDGX Exchange and passes fees and potential credits to Evercore. The CBOE EDGX fee schedule can be accessed at: https://www.cboe.com/us/options/membership/fee_schedule/edgx/. DASH Financial at (https://dashfinancial.com/wp-content/uploads/2022/10/DASH-Financial-Technologies-606-Report_2022_Q3.pdf). Evercore ISI routes to US Options Exchanges disclosed on the report through DASH Financial, an electronic options broker (consolidator). DASH Financial (DFIN): Evercore ISI routes to US Options Exchanges disclosed on the report through DASH Financial, an electronic options routing broker Evercore ISI routes held and not held orders to DASH Financial to be executed in various market centers chosen by DASH Financial. DASH Financial charges Evercore ISI rates from \$0.025 to \$0.25 per contract executed depending on the method of access and product, but Evercore ISI is generally charged \$0.05 per contract for low touch executions and \$0.15 per contract for high touch executions. In addition, Evercore ISI pays exchange, regulatory, market data and clearing fees related to executions through DASH Financial, and Evercore ISI is eligible to receive rebates based on its order volumes routed to DASH Financial. Dash Financial charges and rebates Evercore at the native rates the exchanges would charge Evercore as if it was a member. These charges and rebates will be different from the rates and charges DASH itself receives. Charges will include Commissions, Clearing and Exchange fees and rebates based on order routing. DASH Financial supplies executed venues which Evercore believes is representative of DASH Financial routing of our customer order flow. Evercore does not receive any direct incentives from DASH by sending additional volume, achieving tier rates, nor is it penalized by not meeting minimum order amounts or charged fees for not meeting volume thresholds. Evercore receives no potential benefits based on DASH's overall volume and tiering targets with options exchanges, however, Evercore is not a party to those agreements. Evercore routes to DASH for their connectivity, technology, and services.

BOX:

Evercore is not a member of the BOX Exchange and accesses liquidity through DASH Financial. DASH Financial is charged fees by BOX Exchange and passes fees and potential credits to Evercore. The BOX Exchange fee schedule can be accessed at: <https://boxoptions.com/assets/BOX-Exchange-Fee-Schedule-as-of-September-1-2016-5.pdf>. DASH Financial at: (https://dashfinancial.com/wp-content/uploads/2022/10/DASH-Financial-Technologies-606-Report_2022_Q3.pdf). Evercore ISI routes to US Options Exchanges disclosed on the report through DASH Financial, an electronic options broker (consolidator). DASH Financial (DFIN): Evercore ISI routes to US Options Exchanges disclosed on the report through DASH Financial, an electronic options routing broker Evercore ISI routes held and not held orders to DASH Financial to be executed in various market centers chosen by DASH Financial. DASH Financial charges Evercore ISI rates from \$0.025 to \$0.25 per contract executed depending on the method of access and product, but Evercore ISI is generally charged \$0.05 per contract for low touch executions and \$0.15 per contract for high touch executions. In addition, Evercore ISI pays exchange, regulatory, market data and clearing fees related to executions through DASH Financial, and Evercore ISI is eligible to receive rebates based on its order volumes routed to DASH Financial. Dash Financial charges and rebates Evercore at the native rates the exchanges would charge Evercore as if it was a member. These charges and rebates will be different from the rates and charges DASH itself receives. Charges will include Commissions, Clearing and Exchange fees and rebates based on order routing. DASH Financial supplies executed venues which Evercore believes is representative of DASH Financial routing of our customer order flow. Evercore does not receive any direct incentives from DASH by sending additional volume, achieving tier rates, nor is it penalized by not meeting minimum order amounts or charged fees for not meeting volume thresholds. Evercore receives no potential benefits based on DASH's overall volume and tiering targets with options exchanges, however, Evercore is not a party to those agreements. Evercore routes to DASH for their connectivity, technology, and services.

AMEX:

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BX:

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NOM:

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